

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Barron , David J.                                                                                                                    | <b>2. Court or Organization</b><br><br>United States Court of Appeals for the First Circuit                                                                                                                                                                                              | <b>3. Date of Report</b><br><br>08/12/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>United States Circuit Judge, Active                                           | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>John J. Moakley United States Courthouse<br>1 Courthouse Way, Suite 7710<br>Boston, MA 02210                                                                  |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|                       |                    |
|-----------------------|--------------------|
| 1. Visiting Professor | Harvard Law School |
| 2.                    |                    |
| 3.                    |                    |
| 4.                    |                    |
| 5.                    |                    |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |  |
|----|--|
| 1. |  |
| 2. |  |
| 3. |  |

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**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                                | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|-------------------------------------------------------|----------------------------------------|
| 1. 2015     | Harvard University - part-time faculty member, salary | \$20,000.04                            |
| 2. 2015     | LEG, Inc. dba West Academic, book royalties           | \$2,105.00                             |
| 3.          |                                                       |                                        |
| 4.          |                                                       |                                        |

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                                       |
|-------------|--------------------------------------------------------------|
| 1. 2015     | Harvard University, salary                                   |
| 2. 2015     | Self-employed security consultant                            |
| 3. 2015     | The Gernert Company, book royalties                          |
| 4. 2015     | Juliette Kayyem Solutions LLC (see explanation in Part VIII) |

**IV. REIMBURSEMENTS** *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

| <u>SOURCE</u>                        | <u>DATES</u>          | <u>LOCATION</u>     | <u>PURPOSE</u>             | <u>ITEMS PAID OR PROVIDED</u>               |
|--------------------------------------|-----------------------|---------------------|----------------------------|---------------------------------------------|
| 1. New York University School of Law | 11/13/2015-11/15/2015 | Manhasset, New York | Judicial Education Seminar | Transportation, meals, lodging, seminar fee |
| 2.                                   |                       |                     |                            |                                             |
| 3.                                   |                       |                     |                            |                                             |
| 4.                                   |                       |                     |                            |                                             |
| 5.                                   |                       |                     |                            |                                             |

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

|    | <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|----|---------------|--------------------|--------------|
| 1. |               |                    |              |
| 2. |               |                    |              |
| 3. |               |                    |              |
| 4. |               |                    |              |
| 5. |               |                    |              |

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

|    | <u>CREDITOR</u>   | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|-------------------|--------------------|-------------------|
| 1. | Shady Hill School | Tuition Agreements | K                 |
| 2. |                   |                    |                   |
| 3. |                   |                    |                   |
| 4. |                   |                    |                   |
| 5. |                   |                    |                   |

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## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. CREF Inflation-Linked Bond Fund (See explanation in Part VIII)                                                           |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. CREF Stock Fund (See explanation in Part VIII)                                                                           |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Fidelity Massachusetts Municipal Money Market Fund                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Fidelity Select Biotechnology Portfolio                                                                                  | F                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. TIAA Traditional Annuity                                                                                                 | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Vanguard Prime Money Market Fund                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Vanguard Target Retirement 2030 Fund                                                                                     | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Vanguard Total Bond Market Index Fund Inv                                                                                | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. The Girls, LLC                                                                                                           | G                                       | Int./Div.                                     | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Mars-B, Inc. (See Part VIII for further description)                                                                    |                                         | None                                          | O                                               | R                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Mars-B, Inc.                                                                                                            | D                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Juliette Kayyem Solutions, LLC (See explanation in Part VIII)                                                           |                                         | None                                          | N                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. U.S. Government Securities - Series EE Bonds                                                                            | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. New York Times Company Stock Fund                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Vanguard Target Retire 2035 Trust II                                                                                    | D                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Vanguard Tot Intl Stock Ix Inst (X)                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Vanguard Total Bond Mkt Index Inst (X)                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$250,000.01 - \$500,000.00 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                          |   |           |   |   |  |  |  |  |  |
|------------------------------------------|---|-----------|---|---|--|--|--|--|--|
| 18. Vanguard Inst Index Fund Inst (X)    | A | Dividend  | J | T |  |  |  |  |  |
| 19. Vanguard Extended Mkt Index Inst (X) | A | Dividend  | J | T |  |  |  |  |  |
| 20. Vanguard Target Retirement 2040 Fund | B | Dividend  | L | T |  |  |  |  |  |
| 21. Vanguard Target Retirement 2035      | C | Int./Div. | M | T |  |  |  |  |  |
| 22. Bank of America, cash accounts       | A | Interest  | J | T |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part III, Section B, Line 4 and Part VII, Line 12: Juliette Kayyem Solutions, LLC was formed in the late fall of 2014. It was inadvertently admitted from the 2014 Financial Disclosure Report, during which transitional time, using a value method "W", it had a gross value of "K."

Part VI, Line 1: The Shady Hill tuition agreements were inadvertently omitted on the 2014 report.

Part VII:

Lines 1 & 2: TIAA-CREF could not provide the requested information on these funds.

Lines 10 & 11: The filer has listed Mars-B in Section VII, as per last year. On advice of the Committee and in accord with the instructions, the filer is not listing the real estate or other holdings of the LLC, all of which are related to the business of Mars-B.

Line 12: No income is reported for Juliette Kayyem Solutions, LLC in Column B, given the nature of its holdings. The total value of the assets of the LLC are reflected by the valuation in Column C.

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## IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **David J. Barron**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544